

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Masaaki TAMAI et al. :
Serial No. NEW : **Attn: APPLICATION BRANCH**
Filed April 15, 2004 : Attorney Docket No. 2004_0593

DISK ARRAY DEVICE
(Rule 1.53(b) Continuation
of Serial No. 09/453,216,
Filed December 3, 1999)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/453,216.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

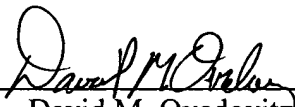
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☒ the concise explanation contained in the specification of the present application at pages 6 and 7,
 - d. ☒ the concise explanation set forth in an English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Masaaki TAMAI et al.

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FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: April 15, 2004

ATTY DOCKET NO.
2004_0593SERIAL NO.
NEWAPPLICANT
Masaaki TAMAI et al.FILING DATE
April 15, 2004GROUP
2184

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,397,347	5/2002	Masuyama et al.			
	AB	6,321,345	11/2001	Mann et al.			
	AC	6,021,509	2/2000	Gerdt et al.			
	AD	5,915,081	6/1999	Yamamoto et al.			
	AE	5,841,748	11/1998	Yamamuro			
	AF	5,537,566	7/1996	Konno et al.			
	AG	4,214,280	7/1980	Halfhill et al.			
	AH	6,052,798	4/2000	Jeddeloh			
	AI	5,968,182	10/1999	Chen et al.			
	AJ	5,872,905	2/1999	Ono et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AK	5-2830	1/1993	JP			Abstract	
	AL	5-127839	5/1993	JP				X
	AM	2-81123	3/1990	JP				X
	AN	9-69027	3-1997	JP				X

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	"A Case for Redundant Arrays of Inexpensive Disks", David A. Patterson, Garth Gibson, Randy H. Katz, University of California, Berkley, December 1987
	AP	Japan Standards Association X6053-1996
	AQ	Chen et al., "RAID: High-Performance, Reliable Secondary Storage", June 1984, ACM Computing Surveys, Vol. 26, No. 2, pp. 153-155.

EXAMINER

DATE CONSIDERED